



11-28-03

1642

Patent Docket P1007P1D1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of Avi J. Ashkenazi Serial No.: 09/993,234 Filed: November 19, 2001 For: APO-2LI AND APO-3 POLYPEPTIDES	Group Art Unit: 1642 Examiner: G. Nickol Confirmation No: 1337 Customer No: 09157	RECEIVED DEC 03 2003 TECH CENTER 1600/2900
CERTIFICATE OF EXPRESS MAILING Express Mail Number: <u>EV 351 928 628 US</u> I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is addressed to "Commissioner for Patents, P.O. Box 1450, Alexandria Virginia 22313-1450".		November <u>26</u> , 2003 <u>Diane L Marschang</u> Diane L. Marschang

TRANSMITTAL LETTER

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Transmitted herewith are the following documents:

1. Supplemental Information Disclosure Statement (dup);
2. Form PTO-1449 with 3 References;
3. Return postcard.

In the event any additional fees are due in connection with the filing of these documents, the Commissioner is authorized to charge such fees to our Deposit Account No. 07-0630.

Respectfully submitted,

GENENTECH, INC.

By: Diane L Marschang
Diane L. Marschang
Reg. No. 35,600
Telephone No. (650) 225-5416

Date: November 26, 2003

#144895

Patent Docket P1007P1D1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of
Avi J. Ashkenazi
Serial No.: 09/993,234
Filed: November 19, 2001
For: APO-2LI AND APO-3 POLYPEPTIDES

Group Art Unit: 1642

Examiner: G. Nickol

Confirmation No: 1337

CUSTOMER NO: 09157

RECEIVED

DEC 03 2003

TECH CENTER 600/2900

CERTIFICATE OF EXPRESS MAILING

Express Mail Number: EV 351 928 628 US

I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is addressed to "Commissioner for Patents, P.O. Box 1450, Alexandria Virginia 22313-1450".

November 26, 2003

Diane L. Marschang
Diane L. Marschang

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Applicants submit herewith patents, publications or other information (attached hereto and listed on the attached revised Form PTO-1449) of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR §1.56.

This Information Disclosure Statement is filed in accordance with the provisions of:

[] **37 CFR §1.97(b)**

- within three months of the filing date of the application other than a continued prosecution application under 37 CFR §1.53(d); **or**
- within three months of the date of entry of the national stage of a PCT application as set forth in 37 CFR§1.491, **or**
- before the mailing of the first Office action on the merits; **or**
- before the mailing of the first Office action after the filing of a request for a continued examination under 37 CFR §1.114.

37 CFR §1.97(c)

- by the applicant after the period specified in 37 CFR §1.97(b), but prior to the mailing date of any of a final action under 37 CFR §1.113, or a notice of allowance under 37 CFR §1.311, or an action that otherwise closes prosecution in the application, and is accompanied by either the fee set forth in 37 CFR §1.17(p) **or** a statement as specified in 37 CFR §1.97(e), as checked below.

37 CFR §1.97(d)

- after the period specified in CFR §1.97(c), and is accompanied by the fee set forth in 37 CFR §1.17(p) **and** a statement as specified in 37 CFR §1.97(e), as checked below.

[If either of boxes 37 CFR §1.97(c) or 37 CFR §1.97(d) is checked above, the following statement under 37 CFR §1.97(e) may need to be completed.]

37 CFR §1.97(e) Each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.

37 CFR §1.704(d) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application and the communication was not received by any individual designated in §1.56(c) more than thirty days prior to the filing of this information disclosure statement. Therefore, in accordance with the provisions of 37 CFR §1.704(d), the filing of this information disclosure statement will not be considered a failure to engage in reasonable efforts to conclude prosecution under 37 CFR §1.704.

The U.S. Patent and Trademark Office is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$180.00 to cover the cost of this Information Disclosure Statement under 37 CFR §1.17(p). Any deficiency or overpayment should be charged or credited to this deposit account.

A list of the patents or publications is set forth on the attached revised Form PTO-1449 (Modified). A copy of the items on PTO-1449 is supplied herewith.

A concise explanation of relevance of the items listed on PTO-1449 is:

not given

given for each listed item

given for only non-English language listed item(s) [Required]

Serial No.: 09/993,234
Filed: November 19, 2001

Page 3

- in the form of an English language copy of a Search Report from a foreign patent office, issued in a counterpart application, which refers to the relevant portions of the references.

In accordance with 37 CFR §1.97(g), the filing of this information disclosure statement shall not be construed as a representation that a search has been made.

In accordance with 37 CFR §1.97(h), the filing of this information disclosure statement shall not be construed to be an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 CFR § 1.56(b).

The Commissioner is hereby authorized to charge any additional fees required under 37 CFR 1.16 and 1.17 for this Information Disclosure Statement, or credit overpayment to Deposit Account No. 07-0630. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

GENENTECH, INC.

By: Diane L. Marschang
Diane L. Marschang
Reg. No. 35,600
Telephone No. (650) 225-5416

Date: November 26, 2003

#144891

FORM PTO-1449		U.S. Dept. of Commerce Patent and Trademark Office		Atty Docket No. P1007P1D1	Serial No. 09/993,234		
LIST OF DISCLOSURES CITED BY APPLICANT (Use several sheets if necessary)				Applicant Avi J. Ashkenazi			
				Filing Date 19 Nov 2001	Group 1642		
U.S. PATENT DOCUMENTS							
Examiner Initials	Document Number	Date	Name	Class	Subclass	Filing Date	
	1 2003/0077694	24.04.03	Yu et al.				
	2 2003/0170203	11.09.03	Yu et al.				
	3 2003/0181710	25.09.03	Ni et al.				
RECEIVED DEC 03 2003 TECH CENTER 1600/2900							
Examiner				Date Considered			
<small>*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</small>							

